

Program Description, Guidelines & Administrative Rules



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PROGRAM DESCRIPTION AND GUIDELINES

INTRODUCTION

The Missouri Local Records Grant Program has offered grants each year since the program began in 1991 to support local public records management and preservation efforts. Grants are funded with fees collected by county recorders; between \$250,000 to \$400,000 is distributed per grant cycle. In this competitive grant program the number of grant applications submitted, and the level of grant funding requested, routinely exceeds the total dollars available. All applicants are required to dedicate local dollars at a prescribed level toward project cost sharing.

Secretary of State, Robin Carnahan, awards grants in consideration of the Missouri Historical Records Advisory Board (MHRAB) application review, advice, and recommendation. Official award status occurs with Secretary Carnahan's notification of award and the execution of a grant agreement form. The grant program operates within the state fiscal year, July 1 through June 30. All projects must be closed no later than June 30, which requires not only the submission and approval of a final report, but also repayment of any outstanding monies to the program.

General information about the grant program, a listing of grant workshops, the grant application, and a three-year listing of previously awarded grants is available at the Secretary of State website

www.sos.mo.gov/archives/localrecs/grants/

ELIGIBLE APPLICANTS AND PROJECTS

- Any local government or political subdivision with taxing authority may apply for local records grant funds
- Circuit Clerk and Probate Court applications developed in consultation with a Local Records Field Archivist for selected permanent record microfilming, and/or steel shelving, will be accepted. The Missouri Historical Records Advisory Board has established preservation microfilming as a priority for judicial book materials, such as indexes or minutes, which have permanent retention. *NOTE: Loose-leaf records are not a priority for judicial records*
- Non-profit institutions may benefit from grant funds if they house public records provided the public executive agency in which the records originated is the grant applicant.
- *NOTE: State or Federal agencies are ineligible applicants*

Examples of the types of records management and/or preservation projects that qualify for consideration include, but are not limited to:

- Planning activities
- Records management
- Preservation microfilming, generally for records older than the current 5 years
- Conservation of unique and/or historically significant original records
- Professional consultant services
- Essential equipment directly related to records management, storage, access, or preservation
- Limited facility renovation for record storage
*Organizations planning to renovate/upgrade their storage space, or planning to create new storage space for permanent records, should consult “**Preservation Concerns in Planning a Records Center**” at www.sos.mo.gov/archives/localrecs/grants*
- Production of reference tools, finding aids, etc.
- Appropriate training or education limited to non-academic offerings
- Production of publications that develop public awareness of, and encourage access to, local records

NOTE: Records that originate with an eligible applicant entity as well as any locally significant materials or other records that have been donated to and owned by an eligible public entity may qualify for project funding.

Ineligible activities include, but are not limited to:

- ◆ Projects completed prior to grant award
- ◆ Expenses incurred prior to the start date of the grant period
- ◆ Existing or permanent staff positions already funded by the agency budget
- ◆ Equipment nonessential to the project
- ◆ Capital improvements to buildings, such as construction of buildings or additions, due to their high cost and the relatively limited grant dollars available per grant cycle
- ◆ Payments to lobbyists
- ◆ Hospitality expenses
- ◆ Prizes/awards
- ◆ Benefit activities (socials, fundraisers, etc.)
- ◆ Educational outreach not available to the public
- ◆ Tuition reimbursement for academic credit
- ◆ Activities having a religious purpose
- ◆ Inventories, finding aides, or guides not available to the public
- ◆ Purchase of manuscripts or records

GRANT FUNDING AND LOCAL MATCH

Grant Funding

Planning projects are capped at a \$5,000 maximum award; all other projects are capped at \$50,000.

There are two maximum percentage levels for grant funding; they are 70% and 50% of the total project cost. All eligible project components, other than non-standard shelving, equipment, or renovation, can be funded at the 70% level. Non-standard shelving, equipment purchases, as well as renovation services and supplies, are only funded at the 50% level. *Note: The designation "Equipment" also includes computer hardware, software, vendor-provided training, and required supplies and materials necessary to establish functional operation.*

Grants funded at the maximum 70% of the total non-equipment project cost require the remaining 30% of the total project cost to be covered by local match. In certain situations where in-kind contributions are feasible, the local cash match can be as low as 10% of the total project cost. Applicants that have a higher percentage of cash cost-sharing will be given preference when all other things are equal.

Grants requiring a 50% cost share divide the cost of the desired item/s equally between grant funds and local cash. Note, however, that the grant funding level for each type of item generally cannot exceed its individual award amount unless a *Request to Revise* (form) modifies the budget and amends the grant contract. Such revision request occurs after award and must be formally approved by Local Records prior to encumbering funds or purchasing the desired item/s.

Approved budget categories eligible for grant funding include:

- ✓ Personnel costs, as salary only, for existing staff working beyond their normal work hours, new hire, part-time, or temporary help
- ✓ Supplies, i.e. general office supplies, consumable items that are not related to construction or renovation activities
- ✓ Travel that is appropriate and directly related to the project
- ✓ Commercial vendor services, such as microfilming, conservation, etc.
- ✓ Consultant fees for planning or specified project services
- ✓ Shelving at either the 70% or 50% level depending upon the type of shelving
- ✓ Renovation labor, supplies, materials
- ✓ Essential equipment such as storage cabinets, reader/printers or reader/scanners, humidifiers/dehumidifiers, etc.

- ✓ Other services, commodities, etc. that are pertinent and necessary to the project

NOTE: Please see “Application Instructions, Budget and Financial Considerations” in Section 4 for additional information on eligible project costs.

Local Match

Any funds designated as local match are restricted to project-related use and must be spent within the contract period of the grant and prior to submission of the Final Report due June 1. Records must be maintained that show the source, amount of all matching contributions and time period in which the match was encumbered or expended; this level of record keeping is also necessary with any in-kind contribution.

When in-kind contribution is appropriate a minimum 10% of the total non-equipment project cost **MUST** be cash match. Local match cash, or cash plus in-kind, must meet or exceed the minimum 30% of the total non-equipment project cost.

Proposals showing a higher percentage cash match are given preference when all other things are equal.

Local cash match consists of new, budgeted funds earmarked for the grant project. This amount must meet the designated 30% percentage level of the total project cost if no appropriate in-kind contribution can be claimed.

Local in-kind contributions are non-monetary contributions that allow the value of project-specific contributions to be claimed; examples of in-kind contributions include, but are not limited to:

- donations
- existing agency services, supplies, and/or commodities
- contributed volunteer time computed at the current Federal minimum wage, etc., or a justified higher salary for more technical or professional level work

APPLICATION REVIEW AND AWARD PROCESS

The grant review process is competitive with only a set amount of grant monies available for distribution. ***Projects that meet the criteria of the grant program, are well conceived, fully described and adequately supported, in a correctly***

completed application form arranged in the proper order will receive the most favorable review.

Local Records staff can provide assistance and guidance in completing the application: draft applications are reviewed from mid-November through mid-January with suggestions offered to guide development of a proposal that is complete, conforms to application requirements, has appropriate grant and local match percentage breakdowns, and is relevant to the purpose of the program. We encourage you to call the Grant Administrator if you have questions about, or difficulties with, the application form.

Applications for the FY 2007 grant program are due March 1, 2006. The Missouri Historical Records Advisory Board (MHRAB) reviews applications in late spring/early summer and makes their award recommendations to the Secretary of State. If an applicant proposal is outside the sphere of expertise of the Local Records staff or the MHRAB, advisors or consultants may be employed to review the application with Local Records covering any consultation fee.

To avoid any potential conflict of interest in reviewing applications and recommending awards, Board members will:

1. Not consider a proposal where a board member or a member of the Secretary of State's staff will derive compensation
2. Abstain from reviewing or voting on proposals if
 - Indirectly connected with a proposed project through employment at the same local government agency
 - Indirectly supervises the project
 - Serves as an unpaid consultant to the project
 - Is an officer of an institution, organization or association allied with the proposal
3. Participate in discussion of, but not vote on, a grant proposal if s/he merely subscribes to membership in a private organization or association allied with the proposal.

➤ Projects may be awarded in full, partially funded, or denied funding.

The Board-recommended award list is forwarded to the Secretary of State for final approval. Award letters and agreement forms are mailed to the awarded applicants. *Note: Board and SOS decisions are final, however reconsideration discussion is appropriate with Local Records for proposal resubmission in the subsequent grant cycle.*

When scheduling and funding permits, the Secretary of State presents facsimile checks to awarded grantees at an Award Ceremony held during the summer.

Grantees have the opportunity to meet informally with the Secretary, Local Records administration and staff, as well as their assigned regional Field Archivist. Legislators are notified of awards within their jurisdictions. The Secretary of State's Communication Director prepares a media release for each awarded agency, which is forwarded to the grantee's area newspaper.

Grant payments for awarded projects, other than a final payment, must be deposited in an interest-bearing account. Earned interest must be entered on the Final Financial Report and either applied to project costs or returned to Local Records.

GRANT ADMINISTRATION

General Information

The Grant Program's *Administrative Rules* (Title 15, Division 30, Chapter 45, Section 030 et seq) provide the operational basis for the Local Records Preservation Grant Program. Text is provided in this application packet at Section 2 and is also available online at:

www.sos.mo.gov/adrules/csr/current/15csr/15c30-45.pdf

Statutory Obligations

Application for and acceptance of grant project funds administered by the Office of Secretary of State, Local Records Preservation Program obligates the grant recipient to comply with:

- ◆ RSMo 610 (Open Meeting and Records)
- ◆ RSMo 109 (Public and Business Records)
- ◆ RSMo 50 and 34 (as applicable for purchasing procedures)
- ◆ Title VI of the Civil Rights Act, the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, and the Americans with Disabilities Act of 1990

Staff Assistance

Retain this *Application and Guidebook* for your reference and use after grant award. The answers to many questions that will arise as you implement your project are provided in this publication. A packet of additional pertinent information and materials, report forms, instructions and completed sample forms will be forwarded to the designated project contact after official notification of award.

A regional Field Archivist is assigned to each grant project. This individual is available to guide and assist you in successfully completing selected project activities. Questions or assistance requests may be directed to your Field Archivist, or to the Grant Administrator.

Grant Administrator contact information follows:

Phone	573-751-2798
Fax	573-526-3867
Mail	Local Records Preservation Program PO Box 1747 Jefferson City MO 65102
E-mail	maria.hines@sos.mo.gov

Project Changes

The Grant Administrator MUST receive written notification and approve of any change to the project prior to implementation of the desired change.

Changes to the grant submitted on a *Request to Revise* form include, but are not limited to:

- Any change of agency address, telephone or fax numbers, or project personnel email address as well as pertinent Personnel changes such as authorized official, project contact person or other project staff carrying out specific project assignments
- Programmatic changes such as altered inclusive dates as well as added or deleted record series from microfilming projects; modification of the awarded project's scope; added/deleted project components or activities
- Budget revisions, which are permitted only with official approval from Local Records, provided:
 - ❑ the original total grant award amount is not exceeded
 - ❑ all applicable match requirements are met
 - ❑ a written request is submitted on a *Request to Revise* form, and includes
 - ✓ identification of which budget categories and/or budget line items are to be reduced/increased and by what amount
 - ✓ the reason/need for the revision
 - ✓ the total dollar amount of funds to be reallocated

NOTE: Local Records must approve a budget revision prior to the expenditure of the desired fund reallocation

- Project extension is considered only when extenuating circumstances, i.e. significant and unavoidable project implementation difficulties, delay completion of the project well before the June 30 closing date of the grant cycle. Extension requests are considered by Local Records for review under the following conditions:
 - The office receives timely first notice and continuing communication regarding said difficulties prior to an extension request
 - A written extension request is submitted on a *Request to Revise* form and clearly details
 - ✓ the problem
 - ✓ significant contributing factor/s
 - ✓ a timeline of preferably 30 to 90 days to complete if not the entire project, a scaled-back, manageable portion of the project

NOTE:

- Extension Requests are not automatically approved: Local Records may disallow, approve as requested, or reduce the extension time period
- Grant projects in Extension Status render their jurisdiction ineligible for future grant award until satisfactory completion of the current project

Grant Payments

Recipients of grant awards less than \$10,000 (\$9,999 and under) will receive 70% of the award amount as a first grant payment generally by early fall. Any remaining funds due, up to the final 30% of the grant award, will be paid upon submission and approval of the *Final Report*. The total award amount is paid out only when full expenditure of grant funds is documented.

For grant awards of \$10,000 or more the initial grant payment will be 35% of the award amount with a second 35% payment made upon grantee request and Local Records receipt and approval of an *Interim Report* that illustrates an appropriate level of project implementation has occurred. Any remaining funds due, up to the final 30% of the grant award, will be paid upon submission and approval of the *Final Report*. The total award amount is paid out only when full expenditure of grant funds is documented.

Project Bids and Expenditures

Note the following regarding bids and purchasing:

- Commodities or services purchased off state contract under the Cooperative Procurement Program or the federal GSA contract will not require bids. Provide a statement to the grant administrator identifying such purchase.
- Items/services costing \$3,000 or less may be purchased with prudence on the open market
- Items/services costing more than \$3,000 but less than \$24,999 must be competitively bid, but do not require a formal mail or advertisement solicitation. **Any item or service costing more than \$3,000 will require the solicitation of at least three bids.** If you do not receive three bids, proof that bid was requested will be sufficient. If a vendor does not respond to a bid request, a “no bid” response by a vendor may be counted towards the requirement for three (3) competitive bids provided that the “no bid” vendor/s could have reasonably been expected to submit a bid.
- Purchases of \$25,000 and more shall be advertised for bids in at least two daily newspapers of general circulation in such places as are most like to reach prospective bidders; such advertisement shall appear at a minimum one time at least five days before bids for such purchases are to be opened
- **IF the grantee’s agency purchasing requirements are more stringent than those stated above, local requirements must be followed**
- Certification or proof of bid as well as state/federal contract purchases must be provided as documentation as appropriate when program report/s are submitted.

Information regarding the Cooperative Procurement Program, which allows a local government to purchase supplies, commodities, services, etc. off state contract, is available online at

www.oa.mo.gov/purch/coop.html

or by contacting Karen Herman, Cooperative Procurement Officer

Phone: 573-751-4169
Fax: 573-522-8726

Mail: PO Box 809
301 West High St.
Jefferson City MO 65102
E-mail: karen.herman@oa.mo.gov

Project implementation and expenditure documentation is required to support all grant fund payments made by Local Records.

- Report forms, instruction sheets, and sample completed forms are included in the project contact packet that is mailed after grant award is made.
- The instructions provided with the *Report* forms include examples of approved documentation for commodities and services as well as in-kind contributions.
- It may be necessary to submit other documentation, such as consultant contracts, copies of finding aids, manuals, etc. produced as a result of grant funding depending your particular project: documentation of the bid process is also required.

Microfilming Project Requirements

- Microfilm produced with grant funding must meet Local Records' technical specifications: the selected vendor must comply with our production and quality control standards for a microfilming project to be to successfully completed. **Our archival microfilming requirements and standards are included in the publication, *Guidelines for Public Records Microfilming***; This publication is available in a searchable format at www.sos.mo.gov/archives/localrecs/grants/ or you may request a copy from this office.
- Local Records must have on file a completed *Microfilm Information Sheet* identifying the vendor selected for your project. Please forward the information sheet to the Grant Administrator as soon as you have contracted with the selected vendor after grant award.
- Any record submitted for filming that includes a social security number must have the social security number redacted (obscured in some fashion so it cannot be filmed) before the records are released for filming

- Records submitted to a vendor for microfilming must include appropriate targets. Targets are “information” sheets that identify the specific records on the microfilm reels as well as provide handling or processing directions to the vendor regarding your original materials. A sample *Title Target* sheet, a clean working copy, and samples of other types of targets are provided in the project contact packet. The sample series title target will assist you in describing the arrangement and description of the records to be filmed. Computer generated targets are preferred to handwritten ones as they can be modified as needed with minimal effort.

NOTE: A Field Archivist or other Local Records staff must personally approve records preparation and targets before materials are sent to the vendor. All records for filming must be prepared, checked, and sent to the vendor as a single shipment. A *Checklist for Grant Funded Microfilm Projects* form is completed by the Field Archivist and then forwarded to the Grant Administrator. Consider retaining a copy in your grant file and forwarding a copy to microfilming vendor with the targets and original records and your series inventory shipping list.

Accounting and Auditing Requirements

Financial records must be kept in accordance with agreed upon accounting practices and Grantees must comply with the audit requirements set forth in Missouri statutes for local government units. These records can be subject to inspection by Secretary of State staff during regular business hours throughout the grant period and for the following three years after the project is closed.

If any litigation, claim, or audit is begun before the end of three (3) years, the records must be retained until such proceeding is resolved. Should any adverse finding occur, a copy of the audit, finding, and a report on final resolution must be forwarded to Local Records.

Project Progress Reports

The Local Records Grant Program requires completion of both the narrative and financial components of the Interim and/or Final during the project period; each of these report components provides an outline of project progress:

- Only expenditures incurred within the inclusive dates of the awarded grant cycle and in the approved budget categories can be claimed
- Though the application budget summary is based on rounded-off figures for audit purposes the actual expenditure amounts must be used to complete the financial status report

- **Documentation of expenditures and bids is required**

The ***Interim Report*** is due on or before **January 15**. If the award amount is over \$10,000, the Interim Report must be submitted and approved before a grantee-requested second 35% grant payment can be made. A ***Final Report*** may be submitted in lieu of the ***Interim Report*** if the project is completed by the Interim Report date.

The ***Final Report*** is due on or before **June 1**. A check for unexpended, previously paid grant monies, and/or unexpended interest earned on those monies, must be included with the ***Final Report*** or as soon as possible thereafter. Early submission of the ***Final Report*** is highly encouraged to avoid significant payment delay of any remaining grant monies due the grantee. The state computerized financial system's data migrates to the next fiscal year program during June and the program is not accessible until July: no grant payments can be processed until data migration is completed. Note also that the new grant cycle begins at the same time the previous cycle is closing out, plus other required agency activities routinely arise during this fiscal year transition period .

Withdrawal of Awarded Grant Funds

Failure to conform to the:

- project parameters as awarded
- programmatic, fiscal or reporting requirements of the grant program as described in this *Guidebook and Application*
- or the technical specifications in *Guidelines for Public Records Microfilming*

can put a grantee in default status.

In the event Local Records deems a grantee to be in default, the grant will be revoked, the forfeited funds must be returned to Secretary of State – Local Records. Any grantee in default status that has not returned funds due the Local Records grant program renders their entire jurisdiction ineligible for future grant award until there is satisfactory resolution of the out-of-compliance project.

MICROFILMING PROJECTS

Introduction

Microfilm is the miniaturized images of paper records photographically reproduced on roll film. It is the same basic process of conventional black and white photography; silver compounds in a gelatin emulsion on a film base are

exposed to visible light. Microfilm processed according to accepted standards, which produces a clear, accurate and permanent reproduction of the original, can be deemed an original record and admissible evidence in courts and administrative agencies.

Reasons to Microfilm

- **PRESERVATION** – The microfilm silver master stored under environmentally controlled conditions can retain uncorrupted information for an optimum life expectancy of 500 years for the protection of original document information
- **IMPROVED ACCESS** – Information can be easily stored in a single location; immediate copies are readily available with a reader/printer or other appropriate printing or duplicating device. Duplicate film copies can be placed in several locations to improve public access and customer service
- **FILE CONTINUITY** – Information cannot be disorganized or lost
- **SECURITY** – Remote storage of silver masters provide protection against fire, water, other disasters; replacement microfilm rolls are available
- **ECONOMIES OF SPACE AND MONEY** – Microfilmed records require approximately 2% of the space occupied by paper documents

Eligible Records

Not all records are eligible for grant-funded microfilming; only records that meet certain criteria qualify for consideration as a microfilm project. Permanent, long-term, or historically significant records are generally eligible for microfilm project funding. The Missouri Secretary of State's office produces and provides retention schedule record manuals for most local government entities. These manuals include basic information on records management, a glossary of terms, and a schedule of retention periods for the standard records of specific offices. Review both the general schedule and the appropriate agency retention manual/s to identify your records eligible for microfilming. Retention Manuals are available electronically at Secretary of State web site:

www.sos.mo.gov/archives/localrec/schedules/

Records must be older than the current 5 years for filming, unless they are included as part of a longer time frame, or extenuating circumstances, such as a mold problem, are adversely affecting the current records. Be sure to include this information in the project narrative.

Microfilm projects are awarded for specified, eligible record series, ***any changes, additions or deletions, in the record series must be requested in writing and approved by the Local Records Grant Administrator prior to filming.***

A *Request to Revise* form must be submitted with an updated *Records to be Microfilmed* form for each added or changed series.

Special Notes:

- ❑ One image per microfilm frame is the standard; justification of and Local Records approval for other formats is required: for example, indexes in which the data runs across two pages in ledger format; aperture cards that include more than one embedded image per card
- ❑ Only in special instances and with acceptable justification will Local Records approve 16mm film. This approval must be solicited and received from Local Records prior to submitting your grant application.
- ❑ A microfilming grant will cover production of a silver master and one diazo copy on 35mm roll film for standard filming
- ❑ ***Aperture conversion projects are awarded on a contingency basis with a unique set of post-award and pre-implementation requirements. Please contact the grant administrator for this information prior to developing your proposal.***
- ❑ For aperture conversion projects, the grant will cover production of a silver master and one silver duplicate on 35mm film
- ❑ Grant-funded microfilm must meet Local Records technical specifications as determined by our quality control inspection of silver master film
- ❑ **Open reel film is required and:**
 - must be 35mm film
 - thick film (5mm) must be used
 - must include appropriate labeling and targets
 - unless it is the last project reel, be at least $\frac{3}{4}$ full, but in no case will film meet or exceed the top edge of the reel
 - not contain any plugs or fasteners
 - be sequentially numbered
 - have the records arranged according to accepted records management practice or standard filing procedures, for example, chronological order, i.e. beginning with the oldest and continuing to the most current records

- **with only one page per frame: exception occurs for film produced from aperture cards, for data originally produced in a ledger format, or approval for more than one page per frame is requested and received from Local Records prior to submission of the grant application**

Microfilming Project Outline

NOTE: Some steps may be completed concurrently rather than in strictly sequential order

- Secretary of State award letter states award amount
- Agreement forms are signed and returned

[NOTE: Aperture conversion projects require vendor test film produced from cards selected by field staff to be inspected and approved by the Local Records office before full filming will be permitted.]

- Grantee evaluates microfilming bids and awards a vendor contract
- *Microfilm Information Sheet* is sent to Local Records
- Grantee prepares all records for microfilming
- Grantee prepares various identification and informational targets for the records and contacts the Field Archivist for review of the targets. Computer generated targets are preferred to handwritten ones as they can be easily modified with minimal effort.
- Targets are revised as necessary and approved
- Field Archivist inspects the records and submits *Microfilm Checklist* form to Local Records prior to releasing the records to the vendor for filming **Note: All records for filming must be prepared, checked, and sent to the vendor as a single shipment.**
- A packing list or a copy of the Checklist for each record series to be filmed is provided to the vendor along with the original records to be filmed
- Vendor submits the first, single, master reel of microfilm for Local Records approval to proceed with full filming of the project

- Vendor films remaining documents, develops, inspects the silver masters, and produces duplicate film copies: silver masters are sent to Local Records for quality control review
- **Local Records completes technical inspection of the microfilm for density and resolution and adherence to our stated filming specifications**
- Grantee receives the approved microfilm diazo or silver duplicate rolls after the silver master passes Local Records inspection
- Grantee inspects their film copy for appropriate targets, text legibility, and content completeness
- **IF** Grantee and vendor follow up is necessary to re-film unacceptable products due to illegible text and/or incomplete content; repeat this process beginning at “*Vendor films, develops, inspects, ...*”
- Grantee notifies Local Records of film acceptance
- **All film must pass Local Records quality control inspection well before the end of the grant cycle in order for the *Final Report* to be completed and submitted on or before the June 1 deadline**
- Local government official authorizes original record destruction only after all microfilm is confirmed as complete and acceptable. The local government is responsible for ensuring all the information is captured.

Preparatory Activities

The final microfilm product will only be as good as your prepared records. Future success in locating specific information is directly related to the time and effort spent preparing the records. Twenty-five percent or more of the project time frame may be needed to prepare the records for microfilming with up to another 15% needed after microfilming to check the film for record legibility and completeness.

When selecting the quantity of records to be filmed in a single grant cycle consider the time, staff, supplies, materials and equipment necessary. Personnel, supplies, etc. are eligible project components qualifying for grant funding when preparatory activities are begun after a grant has been awarded.

Record Preparation Sequence

Note: These first three steps should be completed prior to soliciting microfilming cost estimates and developing the project budget.

- *Check all record storage locations to make sure the range of years is complete for the records you wish to film*
- *Use the appropriate record retention manual/s to identify and separate record series eligible for filming. (NOTE: You must complete this step to correctly complete the Records to be Microfilmed form/s in a grant application.)*
- *Identify and organize the selected records by office of origin and record series*
- Prepare records for filming by
 - Un-folding
 - cleaning
 - removing paperclips, staples and other extraneous matter
 - maintaining, or establishing, logical order, ex. chronological, numerical
 - re-folding, labeling and properly storing
- Produce identification and informational targets
 - ◆ Series Title Targets identify each record series by:
 - location: county and/or city as appropriate
 - office of origin
 - record series
 - time frame covered (inclusive dates with any breaks in the run indicated, for ex. 1930-1950, 1953, 1957-2000)
 - general information content
 - arrangement information, i.e. chronologically, alphabetically, etc.
 - if the information is confidential or closed
 - ◆ A separate target should also be produced for each volume or box of foldered loose-leaf records. This target will include abbreviated identification information consisting of the series name and volume or box letter/number. Volumes must be arranged in order; boxes must be labeled as to the range of materials enclosed and numbered in the order they are to be filmed.
 - ◆ Filming targets provide 'explanation' about a special condition of handling of the records rather than their 'identification. For example PAGES 30-89 ARE BLANK, MISSING PAGE, or other specific direction to the vendor regarding the records or the filming. The grantee should produce and insert these targets at the appropriate

locations within the records, or provide explicit direction in their vendor service contract.

- ♦ **Produce an inventory list for yourself and the vendor that identifies series title/s, the individual volumes or boxes and their inclusive dates.** This will assist in developing an index to the microfilm reels and document materials received and returned by the vendor. Your vendor may also find copies of the *Checklist/s* helpful.

Working with Vendors

Microfilming cost estimates are necessary to complete the grant application. The volume of materials to be microfilmed must be determined and a cost basis established for filming the one page per frame on 35mm roll film and the production of one silver master and one working copy on open reels. A standard cost basis for microfilming can be per image cost, the cost per 1,000 images, or cost per bound volume. Be sure the estimate includes all appropriate vendor charges; It is important to have reasonable and accurate estimates to develop your project budget.

NOTE:

- **Vendors can provide an approximate cost based on the estimated number of pages and/or images, however, do not expect them to spend extensive time locating and surveying the range and condition of the materials without commensurate compensation for the time and effort involved. If the vendor charges for this level of service it is considered a pre-grant expenditure ineligible for reimbursement with grant funds.**
- **If you have not located all records within series that you wish to microfilm, or you have not removed extraneous materials from the records before a vendor estimates filming cost, you may run into unanticipated financial difficulties, such as cost overages for additional materials that exceed grant award, or vendor- incurred fees that would be ineligible for grant funding.**

After a grant is awarded the grantee solicits and evaluates vendor bids and then awards a contract for services. The bid and contract processes will establish the performance expectations and responsibilities of both parties for specified services with set parameters within a mutually acceptable time frame and payment schedule.

Local Records Support

Additional information, directions, and sample forms are provided to the designated project contact after official award. These materials, plus *Guidelines*

for Public Records Microfilming, can guide you through the records preparation and bid process. Assistance is available from your assigned regional Field Archivist as well as the Grant Administrator.

Grant Administrator contact information is

	Phone	573-751-2798
	Fax	573-526-3867
	Mail	Local Records Preservation Program PO Box 1747 Jefferson City MO 65102
E-mail		maria.hines@sos.mo.gov

ADMINISTRATIVE RULES

Code of State Regulations

Title 15 Elected Officials

Division 30 Secretary of State

Chapter 45 Records Management

15 CSR 30-45.030 Local Records Grant Program Administration

PURPOSE: This rule outlines the authority of the grants-in-aid program for local records preservation through the Office of the Secretary of State.

- (1) The local records grant program, administered by the Office of the Secretary of State, provides financial assistance to local government officials to support records management and preservation efforts, particularly for records of permanent retention. This grants-in-aid program is a significant effort in the overall mission of the agency to enhance the quality of archival preservation and public access to records of enduring value.
 - (A) Eligible applicants include all local government entities supported by a tax levy.
 - (B) Ineligible applicants include:
 1. Individuals;
 2. State agencies (local public records housed by state agencies may be included in a grant application that is submitted and administered by the local official who has statutory authority over the records);
 3. Private organizations (local public records housed by private organizations may be included in a grant application that is submitted and administered by the local official who has statutory authority over the records);
 4. Federal agencies.
 - (C) Procedures and Evaluation of Applications:
 1. The Missouri Historical Records Advisory Board (MHRAB) recommends grant:
 - A. Activities, requirements and objectives;
 - B. Cost-sharing contributions, budget structure, payment benchmarks and accounting guidelines;
 - C. Calendars.
 2. The MHRAB reviews and evaluates grant applications and recommends funding levels for award to the secretary of state.
 3. The process to be followed in writing and submitting a grant proposal are found in the *Local Records Preservation Program Guidebook and Application*. All applicable guidelines, procedures and standards relating to the local records preservation grants-in-aid program are detailed in *Local Records Preservation Program Guidebook and Application* and the *Guidelines for Local Records Microfilming*.

- A. Any interested person may obtain the most current version *Local Records Preservation Program Guidebook and Application* from either the Local Records Program, P.O. Box 1747, Jefferson City MO 65102, 573-751-2798, or the Secretary of State web site: www.sos.mo.gov/archives/localrecs/grants/
- B. Paper copies of the most current version *Guidelines for Local Records Microfilming* are available from the Local Records Program, P.O. Box 1747, Jefferson City MO 65102, 573-751-2798.

*AUTHORITY: sections 59.319 and 109.221, RSMo 2000. * Emergency rule filed June 19, 1991, effective June 29, 1991, expired Oct. 28, 1991. Original rule filed June 19, 1991, effective Oct. 31, 1991. Amended: Filed Nov. 6, 1991, effective May 14, 1992. Rescinded and readopted: Filed July 27, 1999, effective Feb. 29, 2000. Rescinded and readopted: Filed Jan 18, 2002, effective July 30, 2002.*

**Original authority: 59.319, RSMo 1969, amended 1989, 1994 and 109.221, RSMo 1989, amended 1990, 1993, 1995, 1998.*

NOTE: The microfilming publication referenced above at “3” “B” was revised and re-

titled in late 2005. The former publication *Guidelines for Local Records Microfilming* is now entitled ***Guidelines for Public Records Microfilming***.